

**INSTRUCTIONS**

For design-build entities holding contractual responsibility for both design and construction. Complete all sections in full. Incomplete applications may delay quoting. Completion of this application does not bind coverage.

**SECTION A — APPLICANT DETAILS**

LEGAL NAME OF APPLICANT  OPERATING / TRADE NAME (IF DIFFERENT)

BUSINESS ADDRESS  CITY  PROVINCE / STATE  POSTAL / ZIP

PRIMARY CONTACT NAME  TITLE  PHONE  EMAIL

WEBSITE  YEAR ESTABLISHED  FINANCIAL YEAR END (MM/DD)

CORPORATE STRUCTURE  
 Sole Proprietor    Partnership    Corporation    LLP    Joint Venture    Other (describe below)

IF 'OTHER', DESCRIBE CORPORATE STRUCTURE

TYPE OF CONTRACTOR  
 General contractor    Specialty contractor    Construction manager    Developer / owner-built    Other (describe below)

IF 'OTHER' OR 'SPECIALTY' — DESCRIBE SCOPE

**PERSONNEL**

ROLE / CATEGORY	# FULL-TIME	# PART-TIME
Architects / engineers / design professionals	<input type="text"/>	<input type="text"/>
Qualified project managers / construction managers	<input type="text"/>	<input type="text"/>
Construction & trades staff	<input type="text"/>	<input type="text"/>
Administrative	<input type="text"/>	<input type="text"/>
Other (specify in notes)	<input type="text"/>	<input type="text"/>

TOTAL EMPLOYEES (#)  CURRENT YEAR PAYROLL (\$)  SENIOR PRINCIPAL — YEARS EXPERIENCE

**SECTION A — APPLICANT DETAILS (continued)**
**PRINCIPALS / DIRECTORS / PARTNERS**

NAME	TITLE / ROLE	YEARS IN POSITION	YEARS EXPERIENCE	QUALIFICATIONS

**PROFESSIONAL DESIGNATIONS, LICENCES & ASSOCIATIONS****SECTION B — REVENUE & FINANCIAL**
**GROSS REVENUE (INCLUDING CONSTRUCTION VALUES)**

	LAST COMPLETE FY	CURRENT FY ESTIMATE	NEXT FY ESTIMATE
Canada / domestic revenue (\$)			
USA revenue (\$)			
Other territory revenue (\$)			
Total gross revenue (\$)			
Total professional fees (\$)			
Profit / (Loss) (\$)			

*Professional fees = fees from design and professional services only, excluding construction values.*

OTHER TERRITORY — DESCRIBE COUNTRY / REGION

USA REVENUE (% OF LAST FY)

**SECTION B — REVENUE & FINANCIAL (continued)**

**REVENUE SPLIT BY CONTRACT TYPE — % OF LAST COMPLETED FY (MUST TOTAL 100%)**

CONTRACT TYPE	% OF REVENUE
a. Construction only — Design-Bid-Build (no design responsibility)	<input style="width: 100%;" type="text"/>
b. Design-Build — design performed in-house	<input style="width: 100%;" type="text"/>
c. Design-Build — design subcontracted to third-party professionals	<input style="width: 100%;" type="text"/>
d. Construction management at risk (turnover)	<input style="width: 100%;" type="text"/>
e. Construction management agency (fees only)	<input style="width: 100%;" type="text"/>
f. Stand-alone professional services provided to third parties	<input style="width: 100%;" type="text"/>
g. Other — describe below	<input style="width: 100%;" type="text"/>

IF 'OTHER' CONTRACT TYPE — DESCRIBE

**FINANCIAL HEALTH**

- Did the applicant have positive net income in the past 12 months?  Yes  No
- Does the applicant have positive overall net equity?  Yes  No
- Are any current projects significantly over budget or behind schedule?  Yes  No

IF NO TO INCOME / EQUITY, OR YES TO OVER BUDGET — DESCRIBE STEPS BEING TAKEN

**SECTION C — SERVICES & CONSTRUCTION ACTIVITIES**

**DESCRIPTION OF ACTIVITIES**

Include nature of design services, construction activities, and usual role (e.g. prime design-builder, DB subcontractor, CM at risk).

**SECTION C — SERVICES & CONSTRUCTION (continued)**
**DESIGN SERVICES — % OF TOTAL DESIGN REVENUE (MUST TOTAL 100% ACROSS BOTH COLUMNS)**

Enter % of design revenue performed in-house and % subcontracted, for each discipline.

DISCIPLINE / SERVICE	IN-HOUSE %	SUBCONTRACTED %
Architectural		
Chemical engineering		
Civil engineering		
Electrical engineering		
Environmental engineering		
Geotechnical / soil engineering		
HVAC engineering		
Hydrology / geology		
Interior design / space planning		
Landscape architecture		
Mechanical engineering		
Plumbing engineering		
Project / construction management		
Structural engineering		
Other (describe below)		

IF 'OTHER' DISCIPLINE — DESCRIBE

**SECTION C — CONSTRUCTION ACTIVITIES (continued)**
**CONSTRUCTION ACTIVITIES — % REVENUE AND DESIGN RESPONSIBILITY**

CONSTRUCTION ACTIVITY	% REV	DESIGN IN-HOUSE	CONSTRUCTION ACTIVITY	% REV	DESIGN IN-HOUSE
General construction — new build		<input type="checkbox"/> Y <input type="checkbox"/> N	Environmental / remediation		<input type="checkbox"/> Y <input type="checkbox"/> N
General construction — existing structure		<input type="checkbox"/> Y <input type="checkbox"/> N	Facade / building envelope		<input type="checkbox"/> Y <input type="checkbox"/> N
Civil contracting		<input type="checkbox"/> Y <input type="checkbox"/> N	Soil & foundation contracting		<input type="checkbox"/> Y <input type="checkbox"/> N
Structural contracting		<input type="checkbox"/> Y <input type="checkbox"/> N	Interiors / fit-out		<input type="checkbox"/> Y <input type="checkbox"/> N
Electrical contracting		<input type="checkbox"/> Y <input type="checkbox"/> N	Landscape contracting		<input type="checkbox"/> Y <input type="checkbox"/> N
Mechanical contracting		<input type="checkbox"/> Y <input type="checkbox"/> N	Other (describe below)		<input type="checkbox"/> Y <input type="checkbox"/> N
HVAC contracting		<input type="checkbox"/> Y <input type="checkbox"/> N			

IF 'OTHER' CONSTRUCTION ACTIVITY — DESCRIBE

Does the applicant, in the course of its work:

- Engage in actual construction, installation, or physical erection work?  Yes  No
- Manufacture, fabricate, or assemble any product as part of its services?  Yes  No
- Assume contractual responsibility for the work of design subconsultants?  Yes  No
- Accept novation of design professionals appointed by the owner or employer?  Yes  No
- Provide value engineering, cost reduction, or constructability review services?  Yes  No
- Have any financial or ownership interest in any projects for which it provides services?  Yes  No

IF YES TO ANY — PROVIDE FULL DETAILS, SPECIFYING WHICH ITEM(S) APPLY

**SECTION D — PROJECT PROFILE**
**REVENUE BY PROJECT SECTOR (MUST TOTAL 100%)**

Residential — single family / low-rise		Infrastructure — bridges	
Residential — multi-unit (non-condo)		Infrastructure — water / sewer	
Condominiums		Wastewater treatment	
Commercial / retail / office		Land development / site servicing	
Industrial / manufacturing		Oil & gas / petrochemical	
Institutional / public buildings		Mining	
Healthcare / medical facilities		Dams / reservoirs / tunnels	
Educational facilities		Railways	
Infrastructure — roads / highways		Other (describe below)	

IF 'OTHER', DESCRIBE PROJECT SECTOR(S)

Does the applicant undertake any of the following higher-risk project types?

Airports — airside (runways, taxiways, aprons)

 Yes  No

Nuclear / radiation facilities

 Yes  No

Amusement / entertainment structures

 Yes  No

Swimming pools / aquatic facilities

 Yes  No

Sensitive geotechnical sites (contaminated land, slope stability)

 Yes  No

Residential / mixed-use buildings exceeding 6 storeys

 Yes  No

IF YES — DESCRIBE NATURE OF WORK, APPROXIMATE % OF REVENUE, AND DISCIPLINES INVOLVED

**SECTION D — PROJECT PROFILE (continued)**

Has the applicant provided design or other professional services on residential condominium or townhouse projects in the past 5 years?  Yes  No

IF YES — TOTAL NUMBER OF CONDO / TOWNHOUSE PROJECTS	APPROXIMATE TOTAL CONSTRUCTION VALUE (\$)
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**PROJECT DELIVERY METHODS — % OF LAST COMPLETED FY REVENUE**

Methods: traditional design-bid-build / design-build / P3 / fast-track / integrated project delivery / CM at risk / other.

DELIVERY METHOD	% OF REVENUE
Traditional design-bid-build	
Design-build	
P3 (public-private partnership)	
Fast-track	
Integrated project delivery	
CM at risk	
Other	

**FIVE LARGEST PROJECTS — PAST 3 YEARS**

CLIENT / PROJECT NAME	NATURE OF WORK	TOTAL CONSTR. VALUE (\$)	APPLICANT CONTRACT VALUE (\$)	START (\$)	END (\$)	DESIGN IN-HOUSE?

**SECTION D — PROJECT PROFILE (continued)**

**THREE LARGEST PROJECTS — EXPECTED TO COMMENCE IN NEXT 12 MONTHS**

CLIENT / PROJECT NAME	NATURE OF WORK	TOTAL CONSTR. VALUE (\$)	APPLICANT CONTRACT VALUE (\$)	EXPECTED START

- Has the applicant, in the past 5 years or currently:
- Undertaken any contract as part of a joint venture or consortium?  Yes  No
  - Undertaken any P3 (public-private partnership) contract?  Yes  No
  - Provided services under any contract in the USA or internationally?  Yes  No

IF YES TO ANY — PROVIDE FULL DETAILS INCLUDING PROJECT NAMES, PARTNERS, AND VALUE

**JOINT VENTURE DETAILS (IF APPLICABLE)**

- Is joint venture coverage required under this policy?  Yes  No  N/A
- Does the applicant obtain evidence of JV partners' professional liability insurance?  Yes  No  N/A
- Does the applicant obtain evidence of JV partners' CGL insurance?  Yes  No  N/A

IF NO TO ANY — EXPLAIN ARRANGEMENTS

- Financial interests & related activities — in the past 12 months, has the applicant or any related entity:
- Had any financial or ownership interest in any project for which it provided professional services?  Yes  No
  - Been engaged in manufacture, sale, leasing, or distribution of any proprietary product or process?  Yes  No
  - Designed any building, component, or system intended for use on more than one project (repetitive design)?  Yes  No
  - Been engaged in any real estate development activities?  Yes  No
  - Undertaken any work involving novel, experimental, or unproven techniques or construction methods?  Yes  No

IF YES TO ANY — PROVIDE FULL DETAILS, SPECIFYING WHICH ITEM(S) APPLY

**SECTION E — RISK MANAGEMENT & CONTRACTS**

Quality management — does the applicant:

- Have a written in-house quality control procedure?  Yes  No
- Require client deliverables and design documents to undergo internal peer review?  Yes  No
- Perform routine project file audits?  Yes  No
- Have a continuing education programme for professional employees?  Yes  No
- Have procedures to evaluate and screen potential new clients and projects?  Yes  No
- Have procedures for monitoring and collecting outstanding fees?  Yes  No

IF NO TO ANY — DESCRIBE HOW THESE MATTERS ARE ADDRESSED

Client contracts — does the applicant:

- Use written contracts for all client engagements?  Yes  No
- Include a limitation of liability clause in client contracts?  Yes  No
- Include a waiver of consequential damages in client contracts?  Yes  No
- Ensure subconsultant / subcontractor contracts are 'back-to-back' with the head contract?  Yes  No
- Have contracts reviewed by legal counsel prior to execution?  Yes  No
- Assume any liability under contract that would not otherwise exist at law?  Yes  No

IF NO TO ANY PROTECTIVE PROVISION, OR YES TO ASSUMING ADDITIONAL LIABILITY — DESCRIBE

**SECTION E — RISK MANAGEMENT & CONTRACTS (continued)**

**CONTRACT PROTECTION — APPROXIMATE % OF CONTRACTS**

CONTRACT PROTECTION PROVISION	% OF CONTRACTS
Waiver of consequential damages	<input style="width: 100%;" type="text"/>
Limitation of liability (cap below insurance limit)	<input style="width: 100%;" type="text"/>
Limitation of liability (cap equal to insurance limit)	<input style="width: 100%;" type="text"/>
Hold harmless in favour of applicant	<input style="width: 100%;" type="text"/>

**CONTRACT TYPE BREAKDOWN — % OF PROFESSIONAL SERVICES BY CONTRACT TYPE**

CONTRACT TYPE	% OF SERVICES
Professional association standard	<input style="width: 100%;" type="text"/>
Firm's standard agreement	<input style="width: 100%;" type="text"/>
Client-drafted agreement	<input style="width: 100%;" type="text"/>
Purchase order	<input style="width: 100%;" type="text"/>
Verbal	<input style="width: 100%;" type="text"/>
Other	<input style="width: 100%;" type="text"/>

Are projects typically bonded?  Yes  No

BONDING DETAILS — TYPE OF BOND, TYPICAL BOND VALUE, BONDING COMPANY

**SECTION F — SUBCONSULTANTS & SUBCONTRACTORS**

Does the applicant use subconsultants or subcontractors?  Yes  No

TYPES OF SERVICES PERFORMED BY SUBCONSULTANTS / SUBCONTRACTORS    % SUBCONTRACTED

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Regarding subconsultants and subcontractors — does the applicant:

Require subconsultants to carry their own professional liability (E&O) insurance?  Yes  No

Require subcontractors to carry their own commercial general liability (CGL) insurance?  Yes  No

Use written agreements with all subconsultants and subcontractors?  Yes  No

Ensure subconsultant contract terms are back-to-back with the head contract?  Yes  No

Sign reciprocal hold harmless agreements with subconsultants / subcontractors?  Yes  No

Collect certificates of insurance from all subconsultants / subcontractors?  Yes  No

MINIMUM PLI LIMIT REQUIRED PER SUBCONSULTANT (\$) — AND ANY OTHER DETAILS

**SECTION G — POLLUTION EXPOSURE**

- Does the applicant, in the course of its construction or design activities:
- Transport, handle, or dispose of any hazardous waste, chemicals, or liquids?  Yes  No
  - Perform any environmental contracting, remediation, or decommissioning operations?  Yes  No
  - Work on sites with known or suspected contamination?  Yes  No
  - Dispose of any waste other than standard construction / demolition / municipal waste?  Yes  No

IF YES TO ANY — PROVIDE FULL DETAILS OF THE NATURE OF OPERATIONS AND WASTE TYPES INVOLVED

- Does the applicant have a formal mold / microbial condition mitigation plan?  Yes  No
- Does the applicant have a formal spill prevention, control, and countermeasure plan?  Yes  No
- Does the applicant have a dedicated environmental health & safety officer?  Yes  No

**SECTION H — PRIOR INSURANCE**

**PROFESSIONAL LIABILITY (E&O) — CURRENT / MOST RECENT**

- No previous professional liability insurance  Currently hold professional liability insurance

INSURER	EXPIRY DATE	LIMIT (\$)	ANNUAL PREMIUM (\$)
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RETROACTIVE DATE	ANY GAPS IN PRIOR COVERAGE?
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COVERAGE GAP OR ADDITIONAL DETAILS

**COMMERCIAL GENERAL LIABILITY (CGL) — CURRENT**

CGL INSURER	EXPIRY DATE	LIMIT (\$)	ANNUAL PREMIUM (\$)
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- Does the applicant maintain CGL insurance concurrently with its PLI, at limits equal to or greater than the professional liability limit?  Yes  No
- Has any coverage ever been declined, cancelled, or non-renewed?  Yes  No

IF YES — PROVIDE FULL DETAILS

**SECTION I — CLAIMS HISTORY**

The applicant confirms that reasonable steps have been taken to ensure responses reflect the full knowledge of its principals and professional staff.

Has the applicant, or any past or present principal, partner, director, officer, or employee:

- Ever had a claim made against them alleging a negligent act, error, or omission in professional services?  Yes  No
- Ever had a claim or legal action brought in connection with construction activities?  Yes  No
- Ever reported any circumstance to an insurer that may give rise to a claim?  Yes  No
- Ever been subject to disciplinary action as a result of professional activities?  Yes  No
- Ever had a cease and desist order made against them or the applicant?  Yes  No
- Ever been found guilty of, or investigated for, any criminal, dishonest, or fraudulent activity?  Yes  No

If YES to any — complete the table below for each matter. Attach additional sheets if required.

DATE	DESCRIPTION OF ALLEGATION / MATTER	AMOUNT CLAIMED (\$)	STATUS	AMOUNT PAID (\$)	MITIGATION / ACTION TAKEN

Is the applicant aware of any of the following:

- Any act, error, omission, or circumstance that might reasonably give rise to a claim?  Yes  No
- Any current or pending dispute, complaint, arbitration, regulatory inquiry, or investigation?  Yes  No
- Any unresolved job dispute, fee dispute, or client dissatisfaction that could escalate?  Yes  No
- Any pending dispute concerning the payment of fees to the firm for services rendered?  Yes  No

IF YES TO ANY — PROVIDE FULL DETAILS, SPECIFYING WHICH ITEM(S) APPLY

**SECTION J — COVERAGE REQUESTED**

PROFESSIONAL LIABILITY LIMIT REQUESTED (EACH CLAIM / ANNUAL AGGREGATE)

- \$500,000  
  \$1,000,000  
  \$2,000,000  
  \$3,000,000  
  \$4,000,000  
  \$5,000,000

DESIRED EFFECTIVE DATE

RETROACTIVE / PRIOR ACTS DATE REQUESTED

**SECTION K — DECLARATION****IMPORTANT NOTICE**

The undersigned declares that the statements and information contained in this application, and any supplementary materials submitted in connection with it, are true, accurate, and complete in all material respects. The applicant understands and agrees that this application shall form the basis of and be incorporated into any policy issued. The applicant acknowledges that the insurer will rely upon the representations made herein when underwriting and issuing coverage. Any material misrepresentation, misstatement, or failure to disclose relevant information may render the policy void from inception or result in the denial of coverage, subject to applicable law. The applicant further acknowledges that defence expenses incurred shall reduce the limits of liability available to pay judgements or settlements, and shall be applied against the deductible amount.

FULL NAME (PRINT)

TITLE / POSITION

DATE (MM / DD / YYYY)

SIGNATURE OF AUTHORIZED REPRESENTATIVE